Review Indicators	Alignment Review	Evaluation / Recommendations
Human Rights		
Key objective: Support universal respect for, and observance of	of, human rights and fundamental freedoms for all	
<ul> <li>Measures in place to uphold human rights principles of accountability and rule of law, participation and inclusion, and equality and non-discrimination</li> <li>No activities undertaken that may contribute to violations of a State's human rights obligations and the core international human rights treaties</li> </ul>	<ul> <li>The project did not directly address human rights issues, per se, but was aligned with national land tenure regularization policies</li> <li>The project activities did not pose any risks of violations of Brazil's human rights obligations and/or its commitments to international human rights treaties</li> </ul>	<ul> <li>Good level of alignment, in line with key objectives of UNDP SES, without significant shortcomings.</li> </ul>
Gender Equality and Women's Empowerment		
Key objective: Promote gender equality and women's empower	erment	
<ul> <li>Activity does not discriminate against women or girls or reinforce gender-based discrimination</li> <li>Activity designed in gender responsive manner (e.g. address both women's and men's needs, interests and concerns)</li> <li>Equitable access to opportunities, benefits, and resources</li> <li>Meaningful and equitable participation of women and men</li> </ul>	<ul> <li>The project did not directly address gender equality or women's empowerment</li> <li>Notwithstanding, women were involved in project activities, e.g., working for and supporting adhesion to the CAR process, in the coordination of local communications and awareness raising and, in some instances, as leaders for project activities</li> </ul>	<ul> <li>Satisfactory result – Project falls short of covering key objectives of UNDP SES but the positive alignment dominates.</li> <li>While the project design did not promote gender integration, it did not hinder the participation of womer as beneficiaries</li> <li>Recommendation: Projects undertaken under the Amazon Fund should i) conduct a gender analysis to inform project design; and, for monitoring and evaluation, ii) establish a baseline with data disaggregated by sex and other relevant parameters and iii) define relevant gender and social inclusion indicators and targets.</li> <li>In a project such as this one, a gender analysis would be important to understand gender roles and relations with respect to, among others, adoption of alternative sustainable use practices in agriculture and linking to</li> </ul>

Review Indicators	Alignment Review	Evaluation / Recommendations
		markets (control and access to resources), raising awareness and assuming leadership to promote adherence to CAR and follow-on actions (women's voice, social networks) and women's in local governance of environmental management (decision-making). The gender analysis should inform the preparation of an explicit gender and social inclusion strategy and action plan including performance indicators and targets
Social and Environmental Assessment and Management		
Key objective: Potential social and environmental risks and imp	pacts are identified, assessed and managed, and monitored	
<ul> <li>Systematic process in place to identify, assess, mitigate and manage potential social and environmental risks and impacts</li> <li>Assessment and management conducted in manner proportionate to significance of risks</li> <li>Impact mitigation measures follow mitigation hierarchy</li> <li>Mitigation measures monitored in manner proportionate to risks and corrective actions are taken as required</li> </ul>	<ul> <li>The scope and objective of the project was to strengthen municipal capacity for land use planning and environmental management to reduce deforestation</li> <li>Notwithstanding, the project did not undertake any systematic assessment of potential social and environmental risks, e.g., with reference to alternative productive activities, continuing/new threats of deforestation or the sustainability of institutional capacity development</li> </ul>	<ul> <li>Satisfactory result – Project falls short of covering key objectives of UNDP SES but the positive alignment dominates.</li> <li>The project was very successful in achieving positive environmental, economic and social outcomes, i.e., developing methods and tools to strengthen local land use planning and environmental management; exceeding targets for rural properties registered under CAR; facilitating some PRA commitments; and, collaborating with smallholders and commercial agricultural producers in identifying sustainable alternative production activities</li> <li>Recommendation: The design of projects undertaken under the Amazon Fund, such as Going Green, should be informed by systematic assessment of potential direct and indirect environmental and social risks as a basis for, e.g., expanding project scope to include greater follow-through on recovery of environmental deficits (PRA and</li> </ul>

Review Indicators	Alignment Review	Evaluation / Recommendations
		PRAD), exploiting potential synergies with other projects, establishing ESIA guidelines for sub-projects, etc.
Stakeholder Engagement		
Key objective: Promote effective stakeholder engagement thro	nughout the project-cycle	
<ul> <li>Stakeholders and engagement process identified</li> <li>Stakeholders, in particular project-affected groups, involved in planning, implementation, monitoring</li> <li>Vulnerable or disadvantaged groups identified and consulted</li> <li>Stakeholders views taken into account and considered in project design and implementation</li> </ul>	<ul> <li>The project adopted a participatory approach with key stakeholders from municipal government, state and national environmental agencies, rural unions, producer associations and other local leaders</li> <li>Municipal government stakeholders were key, direct beneficiaries of project</li> <li>Partnerships with other key stakeholders were instrumental for project design and implementation, e.g., development of methods and tools, development of innovative production strategies, participation of medium and large producers</li> <li>As noted, however, the project did not target women or other vulnerable groups, e.g., rural workers' unions, rural women workers</li> </ul>	<ul> <li>Good level of alignment, in line with key objectives of UNDP SES, without significant shortcomings.</li> </ul>
Key objective: Ensure stakeholders have access to relevant and	timely information	
<ul> <li>Information on project opportunities and risks disclosed in timely, accessible, appropriate manner, language, form</li> <li>Environmental/social reviews and assessments disclosed</li> </ul>	<ul> <li>A wide information dissemination and awareness-raising process was carried out to inform and motivate rural producers to join the CAR</li> <li>The project produced and disseminated Forest Restoration Manuals to support environmental adequacy of rural productive units</li> <li>The partnership between municipalities and other</li> </ul>	• Ibid

Review Indicators	Alignment Review	Evaluation / Recommendations
	<ul> <li>stakeholders enhanced the transparency of how the methods and tools developed by the project are used for monitoring land uses for their environmental regularity</li> <li>There is no indication, however, that environmental and social reviews were conducted or disclosed</li> </ul>	
Key objective: Ensure stakeholders may communicate project	concerns	
Stakeholders have access to effective grievance redress mechanism or process	<ul> <li>The project relied on partnerships agreed among key stakeholders.</li> <li>However, there is no evidence of any explicit process or mechanism for grievance redress.</li> </ul>	<ul> <li>Satisfactory result – Project falls short of covering key objectives of UNDP SES but the positive alignment dominates.</li> <li>At present, there is no Feedback and Grievance Redress Mechanism (FGRM) identified as part of Brazil National REDD+ Strategy, in Amazon Fund and/or BNDES social and environmental policies and/or for this project.</li> <li>Recommendation: Projects undertaken under the Amazon Fund are required to adopt a FGRM (existing or new) to facilitate stakeholders and project-affected people or communities to obtain information, register complaints or grievances and resolve conflicts. The FGRM should be socially and culturally appropriate and accessible and provide opportunities and clear procedures for a tiered process that includes informal dispute resolution, an administrative quasi-judicial review and negotiation as well as referral to the courts.</li> </ul>
Biodiversity and Sustainable Natural Resource Management		
Key objectives: Conserve biodiversity. Maintain and enhance b		T
<ul> <li>Adverse impacts (direct and indirect) to natural resources, biodiversity, ecosystem services identified, assessed, mitigated and managed</li> </ul>	<ul> <li>The project was aligned with the PPCDAm and State plans to prevent and control deforestation</li> <li>A main indicator for the project was the annual rate of</li> </ul>	<ul> <li>Satisfactory result – Project falls short of covering key objectives of UNDP SES but the positive alignment dominates.</li> </ul>

Review Indicators	Alignment Review	Evaluation / Recommendations
<ul> <li>No conversion of natural forests</li> <li>No measurable adverse impacts to critical habitats</li> <li>Adverse impacts to other habitat types avoided, minimized and managed</li> <li>No reduction in endangered species</li> <li>No introduction of known invasive species</li> </ul>	<ul> <li>deforestation: Initially, the rates in project areas declined; however, before and following the end of the project, rates increased in some project areas</li> <li>Another project indicator was removal of participating municipalities from the list of priority municipalities for control and monitoring of deforestation (Federal Decree No. 6,321/2007): The project contributed to achievement of CAR alignment requirements, but due to continuing high levels of deforestation did not meet criteria for lifting agricultural embargoes in some municipalities.</li> <li>Review of the scope of the project noted that the command and control approach was insufficient to address continued deforestation that is driven by population growth, infrastructure development and other factors.</li> </ul>	<ul> <li>The project was relevant to the initial process of strengthening environmental monitoring and control actions with an emphasis on the formalization of the CAR – all essential steps in a process of reducing deforestation and conserving biodiversity.</li> <li>Recommendation: A key lesson learned from the Going Green project is that the design of such projects, i.e., for strengthening institutional capacity, should have an expanded scope to go beyond the initial stage of command and control, e.g., CAR registration, to provide support/incentives for further work on recovery of environmental deficits (PRA, PRAD), other initiatives for alternative production measures, linkages to markets, etc.; and/or, should be conceived in the context of a commitment to a cascade of projects/funding of multiple initiatives that encompass the above.</li> </ul>
Key objective: Promote sustainable management of living nat	ural resources (e.g., forestry, agriculture, livestock, fisheries)	
<ul> <li>Ensure sustainable resource management that protects biodiversity and ecosystem services</li> <li>Appropriate industry-specific sustainable resource production/management practices applied, including credible certification systems where appropriate</li> <li>Sustainable practices supported for small-scale producers</li> <li>Equitable benefit sharing arrangements reached for utilization of genetic resources</li> </ul>	<ul> <li>The project was successful in building the technical and institutional capacity of municipalities to monitor land use and environmental management; it exceeded targets for CAR registration and achieved progress in encouraging farmers to undertake PRA and PRAD; and, collaborated with smallholders and commercial farmers to identify sustainable alternative production strategies for crop cultivation and livestock raising.</li> </ul>	• Ibid
Climate Change Mitigation and Adaptation		
Key objective: Ensure projects sensitive to climate change risk	S	

Review Indicators	Alignment Review	Evaluation / Recommendations
<ul> <li>Project components reviewed for sensitivity and vulnerability to potential climate change</li> <li>Social and gender risks and differentiated impacts related to climate change addressed</li> </ul>	<ul> <li>The project was aligned with National Climate Change Program and Paris Agreement</li> <li>However, the project does not appear to have addressed climate change directly, in the context of any review of climate-change related opportunities and/or risks associated with initiatives, e.g., alternative production strategies, or in terms of differential social and gender risks and impacts</li> </ul>	<ul> <li>Satisfactory result – Project falls short of covering key objectives of UNDP SES but the positive alignment dominates.</li> <li>To the extent that the project promoted/ supported recovery of environmental deficits and/or adoption of alternative production strategies, it addressed climate change risks, e.g., GHG emissions</li> <li>Recommendation: The design of projects undertaken under the Amazon Fund should be informed by an assessment of climate change risks and associated environmental, economic and social impacts for different groups of stakeholders; and, identify appropriate mitigation and/or adaptation strategies, indicators and targets.</li> </ul>
<ul> <li>Feasible alternatives considered and adopted for reducing project-related greenhouse gas emissions (GHGs)</li> </ul>	<ul> <li>The project exceeded targets for CAR registration, obtained some commitments to recover environmental deficits and piloted sustainable alternative production and, thereby, contributed to increased medium-term carbon storage by natural regeneration</li> </ul>	• Ibid
Community Health, Safety and Working Conditions		
Key objective: Avoid adverse health and safety impacts		
<ul> <li>Risks to communities and workers from construction and other interventions prevented or minimized and managed</li> <li>Measures adopted to prevent or minimize health risks and spread of infectious disease</li> </ul>	<ul> <li>The project activities did not pose any risks to communities or workers due to construction or other interventions</li> </ul>	<ul> <li>This UNDP SES does not apply in the case of this project</li> </ul>
Key objective: Respect and promote workers' rights		

Review Indicators	Alignment Review	Evaluation / Recommendations
<ul> <li>Measures in place to promote non-discrimination, equal opportunity and fair treatment of workers</li> <li>No use of forced labor or child labor, consistent with relevant ILO conventions</li> </ul>	<ul> <li>The project activities did not pose any risks to workers' rights</li> </ul>	■ Ibid
Key objective: Provide safe and healthy working conditions		
<ul> <li>Measures adopted to ensure healthy and safe working conditions</li> </ul>	<ul> <li>The project activities did not pose any risks to safe and healthy working conditions</li> </ul>	<ul> <li>Ibid</li> </ul>
Cultural Heritage		
Key objective: Protect, manage, conserve cultural heritage		
<ul> <li>Cultural heritage protected from adverse risks and impacts</li> <li>Qualified experts utilized for risk management and conservation</li> <li>Chance find procedures in place</li> </ul>	<ul> <li>The project activities did not pose any risks to cultural heritage</li> </ul>	<ul> <li>This UNDP SES does not apply in the case of this project</li> </ul>
Key objective: Promote equitable benefit sharing from utilization	ion of cultural heritage	
<ul> <li>Inform affected communities of rights and proceed only if good faith negotiations provide for fair and equitable benefit sharing</li> </ul>	<ul> <li>The project activities did not pose any risks to cultural heritage</li> </ul>	<ul> <li>Ibid</li> </ul>
Displacement and Resettlement		
Key objectives: Avoid adverse impacts from land or resource acquisition or restrictions on land/resource use. Minimize adverse impacts where avoidance not possible.		
<ul> <li>Measures in place to avoid, and where avoidance is not possible, minimize and mitigate physical or economic displacement from land or resource acquisition or restrictions on land or resource use</li> <li>Any displacement activities carried out in fully participatory manner</li> </ul>	<ul> <li>No physical or economic displacement occurred as a result of the project</li> </ul>	<ul> <li>This UNDP SES does not apply in the case of this project</li> </ul>

Review Indicators	Alignment Review	Evaluation / Recommendations		
Key objective: Recognize and respect the prohibition on forced	Key objective: Recognize and respect the prohibition on forced evictions			
<ul> <li>No forced evictions, allowing evictions only in exceptional circumstances meeting lawful criteria</li> </ul>	<ul> <li>No physical or economic displacement occurred as a result of the project</li> </ul>	<ul> <li>Ibid</li> </ul>		
Key objective: Enhance or at least restore livelihoods of all disp	blaced persons, and improve living standards of displaced poor a	nd other displaced groups $ ightarrow$ ? other vulnerable groups		
<ul> <li>Livelihoods of any displaced persons enhanced or at least restored through compensation at full replacement costs and other assistance</li> </ul>	<ul> <li>No physical or economic displacement occurred as a result of the project</li> </ul>	<ul> <li>Ibid</li> </ul>		
Indigenous Peoples				
Key objective: Recognize and foster full respect for indigenous	peoples' human rights			
<ul> <li>Indigenous peoples' rights recognized and protected</li> <li>No actions supported that violate indigenous peoples' rights</li> </ul>	<ul> <li>The project did not work in any indigenous or traditional communities</li> </ul>	<ul> <li>This UNDP SES does not apply in the case of this project</li> </ul>		
Key objective: Ensure projects designed in partnership with ful livelihoods affected	l, effective indigenous peoples' participation, and securing FPIC v	where IP rights, lands, resources, territories of traditional		
<ul> <li>Culturally appropriate meaningful participation undertaken for all activities that affect indigenous peoples</li> <li>Free Prior and Informed Consent (FPIC) obtained for activities that affect the rights, interests, lands, resources, territories, traditional livelihoods of affected indigenous peoples</li> <li>No relocation of indigenous peoples without FPIC and only after just and fair compensation, with option of return where possible</li> </ul>	<ul> <li>The project did not work in any indigenous or traditional communities</li> </ul>	• Ibid		

Review Indicators	Alignment Review	Evaluation / Recommendations
Key objective: Promote greater indigenous peoples' control and	d management of developments affecting their lands and resou	rces, aligning with their visions and priorities
<ul> <li>Measures recognize indigenous peoples' collective rights to own, use, develop, control lands, resources, territories they have traditionally owned, occupied, otherwise used or acquired</li> </ul>	<ul> <li>The project did not work in any indigenous or traditional communities</li> </ul>	• Ibid
Key objective: Avoid adverse impacts, mitigate residual impact	s, ensure just equitable benefits and opportunities in a culturall	y appropriate manner
<ul> <li>Adverse impacts on indigenous peoples are avoided, and where avoidance is not possible, minimized and mitigated</li> <li>Measures in place to ensure equitable benefit sharing from project activities in culturally appropriate manner</li> </ul>	<ul> <li>The project did not work in any indigenous or traditional communities</li> </ul>	• Ibid
Pollution Prevention and Resource Efficiency		1
Key objective: Avoid/minimize adverse impacts on human heal	th and environment from pollution	
<ul> <li>Measures in place to avoid, minimize and mitigate risks posed to human health and the environment from pollutants, wastes, and hazardous materials</li> <li>Integrated Pest Management (IPM) approaches utilized to reduce reliance on synthetic pesticides.</li> <li>Least toxic effective pesticides utilized and pesticides handled per FAO Code of Conduct</li> </ul>	<ul> <li>No project activities posed risks to human health or the environment due to pollutants, wastes or hazardous materials</li> </ul>	This UNDP SES does not apply in the case of this project
Key objective: Promote more sustainable use of resources, inclu	uding energy, land and water	
<ul> <li>Feasible measures implemented to improve efficiency in consumption of inputs (e.g. raw materials, energy, water)</li> </ul>	<ul> <li>No project activities posed risks to efficient consumption of inputs</li> </ul>	• Ibid
<ul> <li>Use of water resources does not adversely impact others or sensitive ecosystems</li> </ul>		